

Snell & Wilmer
L.L.P.
LAW OFFICES

One Arizona Center
Phoenix, Arizona 85004-2202
(602) 382-6000
Fax: (602) 382-6070
www.swlaw.com



**COPY OF PAPERS
ORIGINALLY FILED**

Thomas J. Finn (602) 382-6208
Patents, Trademarks & Copyrights
tfinn@swlaw.com

June 3, 2002

PHOENIX, ARIZONA
TUCSON, ARIZONA
IRVINE, CALIFORNIA
SALT LAKE CITY, UTAH
DENVER, COLORADO

VIA FIRST CLASS MAIL

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

Re: US Nonprovisional Patent Application, Chow, et al.
**Title: REAL-TIME BROKERAGE ACCOUNT
APPLICATION SYSTEM AND METHOD**
Filing Date: December 20, 2001
Serial No.: 10/032,588
Confirmation No.: 8373
Our File No.: 40655.3800

Dear Sir or Madam:

Enclosed are the following documents:

1. Response to Notice of Incomplete Reply;
2. Return Receipt Postcard (postage prepaid);

Please process the above document. Thank you.

Sincerely,

Snell & Wilmer


Thomas J. Finn

TJF:bf

Enclosures

cc: Ms. Patrice Jacobson (AMEX)



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CERTIFICATE OF MAILING

I certify that this document and fee is being deposited with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: June 3, 2002


Signature of Person Mailing Correspondence

IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE

PATENT

Applicant(s): **Christina Chow, et al.**

Atty. Docket No.: **40655.3800**

Serial No.: **10/032,588** Confirmation No.: **8373**

Group Art Unit: **2164**

Filed: **December 20, 2001**

Examiner: **TBA**

TITLE: **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND METHOD**

**RESPONSE TO NOTICE OF INCOMPLETE REPLY
OF NONPROVISIONAL APPLICATION
FILING DATE GRANTED**

Assistant Commissioner for Patents
Box Missing Parts
Washington, D.C. 20231

Dear Sir:

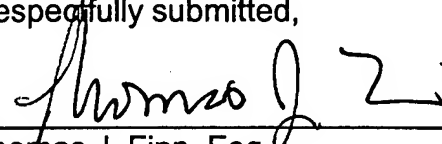
This responds to the Notice of Incomplete Reply of Nonprovisional Application - Filing Date Granted mailed on May 16, 2002, which states:

- "The signature of the following inventor(s) is missing from the oath or declaration:
Marcus Sheire and Timothy G. Austin"

This notice is incorrect. Careful review of the filed Declaration shows that there were two (2) pages 3 of 3 in the Declaration. The first page 3 of 3 had the signature of Paul Stoxen. The second page 3 of 3 had the signatures of Marcus Sheire and Timothy G. Austin. A copy of the Declaration is attached. **A duplicate copy of this sheet is enclosed.**

Respectfully submitted,

Dated: June 3, 2002


Thomas J. Finn, Esq.
Reg. No. 48,066

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Serial No. 10/032,588
Docket No. 40655.3800
Confirmation No. 8373

SNELL & WILMER L.L.P.
One Arizona Center
400 E. Van Buren
Phoenix, AZ 85004-2202
(602) 382-6228 - Telephone
(602) 382-6070 - Fax



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Page 1 of 1

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/032,588	12/20/2001	Paul Stoxen	40655.3800

Thomas J. Finn
Snell & Wilmer L.L.P.
400 East Van Buren
One Arizona Center
Phoenix, AZ 85004-2202

CONFIRMATION NO. 8373

FORMALITIES LETTER



OC000000008136773

Date Mailed: 05/16/2002

NOTICE OF INCOMPLETE REPLY (NONPROVISIONAL)

Filing Date Granted

The U.S. Patent and Trademark Office has received your reply on 04/23/2002 to the Notice to File Missing Parts (Notice) mailed 02/22/2002 and it has been entered into the nonprovisional application. The reply, however, does not include the following items required in the Notice.

The period of reply remains as set forth in the Notice. You may, however, obtain EXTENSIONS OF TIME under the provisions of 37 CFR 1.136 (a) accompanied by the appropriate fee (37 CFR 1.17(a)).

A complete reply must be timely filed to prevent ABANDONMENT of the above-identified application.

- The signature of the following inventor(s) is missing from the oath or declaration:
Marcus Sheire and Timothy G. Austin

*A copy of this notice **MUST** be returned with the reply.*

Frederic Geramew

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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CERTIFICATE OF MAILING

Certify that this document and fee is being deposited with the U.S. Postal Service as First Class Mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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Signature of Person Mailing Correspondence

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PATENT

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Filed: **December 20, 2001** Examiner: **TBA**
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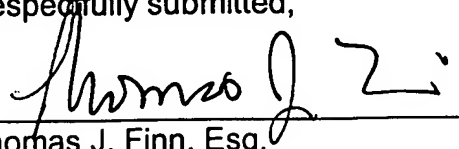
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